

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

In re application of Peter T. Dinsmore *et al.*



Serial No.: 09/836,238

Examiner: To Be Assigned

Confirmation No.: 6439

Art Unit: 2661

Filed: April 18, 2001

For: **SYSTEM AND METHOD FOR KEY DISTRIBUTION IN A HIERARCHICAL TREE**

Commissioner for Patents  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT TRANSMITTED Technology Center 2600

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08 for the above-identified patent application.

- ☒ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☐ In accordance with 37 C.F.R. §1.97(c), also enclosed is:
- ☐ the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
  - ☐ a statement as specified in 37 C.F.R. §1.97(e).
- ☐ In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. § 1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☐ Check No. \_\_\_ in the amount of \$\_\_\_ for the total fee is attached.
- ☐ Please charge \$\_\_\_ to Deposit Account No. 50-1283 for the total fee. This paper is being submitted in duplicate.


The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-1283.

Dated: 9/7/01

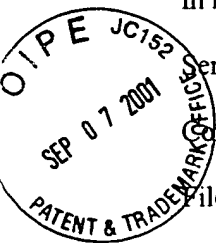
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Respectfully submitted,  
COOLEY GODWARD LLP

By: \_\_\_\_\_

  
Duane S. Kobayashi  
Reg. No. 41,122

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §1.97(b)** Technology Center 2600

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56, Applicant(s) hereby submits the following information in conformance with 37 C.F.R. §§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- ☐ No copies of the publications listed on the attached Form PTO/SB/08 are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. \_\_\_ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☐ Publication(s) \_\_\_ listed on the attached Form PTO/SB/08 were cited in a foreign search or examination report corresponding to \_\_\_ application serial no. \_\_\_ and mailed on \_\_\_.
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_. English language publication (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) \_\_\_ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) \_\_\_ cited in the attached Form PTO/SB/08.
- ☒ Enclosed is a copy of pending patent Application Serial No. 09/836,214.

This Information Disclosure Statement is filed within any one of the following time periods:

- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);

- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- ☒ **before the mailing date of a first office action on the merits; or**
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.


It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08 to the undersigned.

Dated: 9/7/01

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Respectfully submitted,  
**COOLEY GODWARD LLP**

By:

  
\_\_\_\_\_  
**Duane S. Kobayashi**  
**Reg. No. 41,122**

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PTO/SB/08A (08-00)



Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	09/836,238
		Filing Date	April 18, 2001
		First Named Inventor	Peter T. Dinsmore
		Group Art Unit	2661
		Examiner Name	To Be Assigned
Sheet	1	of	2
		Attorney Docket Number	NTWK014/00US (00.176.0)

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U.S. PATENT DOCUMENTS					SEP 10 2001  Technology Center 2600
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	C1	RFC 1949, "Scalable Multicast Key Distribution," May 1996.
	C2	R. CANETTI et al., "Multicast Security: A Taxonomy and Some Efficient Constructions," INFOCOMM '99, June 1999.
	C3	D. A. MCGREW and A. T. SHERMAN, "Key Establishment in Large Dynamic Groups Using One-Way Function Trees," May 20, 1998.
	C4	D. M. WALLNER et al., "Key Management for Multicast: Issues and Architectures," Internet Draft, Internet Engineering Task Force, September 15, 1998.
	C5	P. MCDANIEL et al., "Multicast Security Policy," Internet Draft, Internet Engineering Task Force, May 2000.
	C6	D. BALENSEN et al., "Key Management for Large Dynamic Groups: One-Way Function Trees and Amortized Initialization," Internet Draft, Internet Engineering Task Force, August 25, 2000.
Examiner Signature		Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number.

<sup>2</sup> See attached Kinds of U.S. Patent Documents.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

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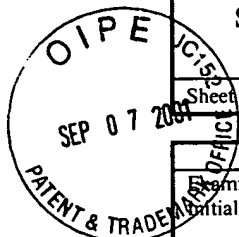
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PTO/SB/08A (08-00)

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		Application Number	09/836,238
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	April 18, 2001
		First Named Inventor	Peter T. Dinsmore
		Group Art Unit	2661
		Examiner Name	To Be Assigned
Sheet	2	of	2
		Attorney Docket Number	NTWK014/00US (00.176.01)



OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>2</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>3</sup>
	C7	P. S. KRUUS, "A Survey of Multicast Security Issues and Architectures," Proceedings 21 <sup>st</sup> National Information Systems Security Conference, October 1998.	
	C8	P. S. KRUUS and J. P. MACKER, "Techniques and Issues in Multicast Security," Proceedings IEEE MILCOM '98, October 1998.	
	C9	D. BALENSON et al., "Dynamic Cryptographic Context Management (DCCM)," Final Report, April 6, 2000.	
	C10	Cryptographic Technologies, Dynamic Cryptographic Context Management (DCCM), printed from <a href="http://www.pgp.com/research/nailabs/cryptographic/dynamic-cryptographic.asp">http://www.pgp.com/research/nailabs/cryptographic/dynamic-cryptographic.asp</a>	
	C11	Lotspiech, J., et al., "Subset-Difference based Key Management for Secure Multicast", IRTF SMUG Internet Draft, (July 2001)	

Examiner Signature		Date Considered	
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